

FORM PTO-1390
(REV. 1-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

04851/

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

Applied **09/786164**

INTERNATIONAL APPLICATION NO.
PCT/DE99/02836 ✓

INTERNATIONAL FILING DATE
7 Sept. 1999 (7/9/99) ✓

PRIORITY DATE CLAIMED
7 Sept. 1998 (7/9/98) ✓

TITLE OF INVENTION

**Method For Improving The Security of Authentication Procedures in Digital Mobile
Radio Telephone Systems** ✓

APPLICANT(S) FOR DO/EO/US

Hake, Jens; Thelen Jorg ✓

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 37 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes of the International Preliminary Examination Report under PCT Article 36
11. ☐ An Information Disclosure Statement under 37 CFR 1.197 and 1.98
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ Other items or information:

U.S. APPLICATION NO. 09/7861

INTERNATIONAL APPLICATION NO. 532860
PCT/DE99/02836

EXAMINER'S DOCKET NUMBER 046517

28 FEB 2001

17. ☒ The following fees are submitted
BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or
JPO \$860.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but international search fee (37 CFR 1.445(a)(2)) paid to
USPTO \$710.00International preliminary examination fee (37 CFR 1.482) paid to
USPTO but all claims did not satisfy provisions of PCT Article
33(1)-(4) \$690.00International preliminary examination fee (37 CFR 1.482) paid to
USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)
\$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20
☐ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS NUMBER FILED NUMBER EXTRA RATE

\$

Total claims - 20 = 0 X \$18.00

\$

Independent claims - 3 = 0 X \$80.00

\$

MULTIPLE DEPENDENT CLAIM(S) (if applicable) +\$ 270.00

\$

TOTAL OF ABOVE CALCULATIONS =

\$

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement
must also be filed (Note 37 CFR 1.9, 1.27, 1.28) --

\$

SUBTOTAL =

\$ 860.00

Processing fee of \$130.00 for furnishing the English translation later than
☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment
must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per
property

\$

TOTAL FEES ENCLOSED =

\$ 860.00

Amount to be
refunded:

\$

charged:

\$

- a. ☒ A check in the amount of \$860.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 16-1435. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

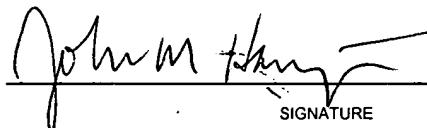
SEND ALL CORRESPONDENCE TO:

John M. Harrington Esq.

KILPATRICK STOCKTON LLP

1001 West Fourth Street

Winston-Salem, NC 27101



SIGNATURE

Name: John M. Harrington

Registration No. 25,592

70

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision.

Complete if Known

Application Number 09/786,164

Filing Date February 28, 2001

First Named Inventor Hake, Jens

Examiner Name

Group / Art Unit

Attorney Docket No. 04851/254423

TOTAL AMOUNT OF PAYMENT (\$) 410**METHOD OF PAYMENT (check one)**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

16-1435

Deposit
Account
Name☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status.
See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$ 0)

2. EXTRA CLAIM FEES

		Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text" value="-20"/>	= <input type="text" value="0"/>	X	<input type="text" value="0"/>	=	<input type="text" value="0"/>
Independent Claims	<input type="text" value="-3"/>	= <input type="text" value="0"/>	X	<input type="text" value="0"/>	=	<input type="text" value="0"/>
Multiple Dependent			X	<input type="text" value="0"/>	=	<input type="text" value="0"/>

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	130
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	110
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	


Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 410)

SUBMITTED BY**Complete (if applicable)**

Name (Print/Type)	John M. Harrington	Registration No. Attorney/Agent	25,592	Telephone	336-607-7300
Signature		Date	5/24/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : HAKE, Jens, et al.
Serial No. : 09/786,164
Filed : February 28, 2001
Art Unit : Unknown
Examiner : Unknown
For : METHOD FOR IMPROVING THE SECURITY OF
AUTHENTICATION PROCEDURES IN DIGITAL
MOBILE RADIO TELEPHONE SYSTEMS

Assistant Commissioner for Patents
Box MISSING PARTS
Washington, D.C. 20231

STATEMENT OF ACCURACY OF TRANSLATION
(37 C.F.R. §§ 1.52(d), 1.55(a), 1.69)

I, the below named translator, hereby state:

My name and post office address are as stated below;

That I am knowledgeable in the English language and in the language of the

- ☐ attached document
☒ below identified document

and I believe the attached English translation to be a true and complete translation of this document.

The Document for which the attached English translation is being submitted was filed in the United States Patent and Trademark office as "Verfahren zur Erhöhung der Sicherheit

09786164-052101

von Authentisierungsverfahren in digitalen Mobilfunksystemen" (Original German Language Specification, Appln. No. 198 40 742.4).

☐ This foreign language document was filed in the PTO on February 28, 2001.
(date)

Full name of the translator Caroline Simmen Domenig

Signature of the translator Caroline Simmen Domenig

Post Office Address 1110 Whispering Pines Dr.
Kernersville, NC 27284

(Statement of Accuracy of Translation - page 2 of 2)